

Substitute for Form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)

Complete if Known

Application Number	10/775,737
Filing Date	February 10, 2004
First Named Inventor:	Liu et al.
Art Unit	2874
Examiner Name	Pak, Sung H.
Attorney Docket Number	42P18893

Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)				
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FOREIGN PATENT DOCUMENTS

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		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
SP	1.	JP	09043557		02-14-1997	NTT Corporation		

Examiner
Signature

Sung Pak

Date Considered

9/12/05

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Sheet	2	of	2	Attorney Docket Number	42P18893
NON PATENT LITERATURE DOCUMENTS					
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
SP	2.	YAMADA, K. et al., "Low polarization dependence (<0.3dB) in an EA modulator using a polyimide-buried high-mesa ridge structure with an InGaAsP bulk absorption layer," ELECTRONICS LETTERS, Vol. 31, No. 3, February 2, 1995, pp. 237-238.			
SP	3.	TANG, C. K. et al., "Highly efficient optical phase modulator in SOI waveguides," ELECTRONICS LETTERS, Vol. 31, No. 6, March 16, 1995, pp. 451-452.			
SP	4.	PNG, C. E. et al., "Development of small Silicon modulators in Silicon-On-Insulator (SOI)," Proceedings of SPIE, Vol. 4997, 2003, pp. 190-197.			
SP	5.	PCT/US2005/001601, PCT Search Report and Written Opinion, June 8, 2005.			

Examiner Signature		Date Considered	9/12/05
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